

## LISTING OF CLAIMS

This listing of claims will replace all prior versions in the application:

1. (currently amended) A computer implemented method of determining the buying power of an investment portfolio for a given security, the method comprising the steps of:
  - a) providing a set of compliance rules, each of the compliance rules defining a limit on the amount of shares of the security that can be added to the investment portfolio based on predetermined criteria;
  - b) calculating a transaction limit for a proposed transaction involving the security for each compliance rule in the set of compliance rules;
  - c) sorting the set of compliance rules from most restrictive to least restrictive based on the calculated transaction limit for each compliance rule, wherein the most restrictive compliance rule has the lowest transaction limit and the least restrictive compliance rule has the highest transaction limit;
  - d) displaying the sorted set of compliance rules and the calculated transaction limit for each rule; ~~and~~
  - e) displaying a rule description box defining how the transaction limit was calculated; and
  - f) determining the buying power of the investment portfolio based on the most restrictive of the calculated compliance rules.

2-5 (canceled)

6. (previously presented) The method according to claim 1, further comprising testing each compliance rule against the proposed transaction using a nominal transaction value.
7. (original) A method according to claim 6, further comprising the step of determining that the buying power of the portfolio for the proposed transaction is zero if the nominal transaction value for the proposed transaction violates a compliance rule.
- 8-14 (canceled)
15. (currently amended) A system for determining the transaction limit of an investment portfolio for a given security comprising:
  - a) means for storing a set of compliance rules for an investment portfolio, each of the compliance rules defining a limit on the amount of shares of the security that can be added to the investment portfolio based on predetermined criteria;
  - b) means for receiving a request to analyze a proposed transaction involving the security; and
  - c) means for calculating a transaction limit for the proposed transaction for each of the compliance rules in the set of compliance rules;
  - d) means for sorting the compliance rules from most restrictive to least restrictive based upon the transaction limit calculated for each compliance rule; ~~and~~
  - e) means for displaying the sorted compliance rules along with the transaction limit associated with each compliance rule; and

f) means for displaying a rule description defining how the transaction limit was calculated.

16-17 (canceled)

18. (previously presented) A system as recited in claim 15, further comprising means for determining the buying power of the portfolio based upon the transaction limit associated with the most restrictive compliance rule.

19-21 (canceled)

22. (currently amended) A method of determining the buying power of an investment portfolio comprising the steps of:

- a) receiving a request to analyze a proposed transaction involving a security from a portfolio manager for a selected portfolio stored in a portfolio database;
- b) retrieving the selected portfolio from the portfolio database;
- c) accessing a set of compliance rules related to the selected portfolio from a rules database;
- d) determining whether each compliance rule in the set of compliance rules related to the selected portfolio applies to the proposed transaction;
- e) calculating a transaction limit for the proposed transaction for each applicable compliance rule in the set of compliance rules;
- f) sorting each applicable compliance rule from most restrictive to least restrictive

- g) displaying the sorted applicable compliance rules and the calculated transaction limit for each rule;
  - h) specifying the buying power of the selected portfolio for the proposed transaction, wherein the buying power is equal to the transaction limit for the most restrictive of the applicable compliance rules; and
  - i) displaying the name of the selected portfolio and its associated buying power for the proposed transaction involving the security; and
  - j) displaying a rule description defining how the transaction limit was calculated.
23. (original) A method according to claim 22, wherein the step of determining whether each compliance rule in the set of compliance rules applies to the proposed transaction includes testing each compliance rule against the proposed transaction using a nominal transaction value.
24. (original) A method according to claim 23, further comprising the step of determining that the buying power of the selected portfolio for the proposed transaction is zero if the nominal transaction value violates a compliance rule related to the selected portfolio.

25. (currently amended) A system for determining the buying power of an investment portfolio comprising:

- a) means for receiving a request to analyze a proposed transaction involving a security from a portfolio manager for a selected portfolio stored in a portfolio database;
- b) means for retrieving the selected portfolio from the portfolio database;
- c) means for accessing a set of compliance rules related to the selected portfolio from a rules database;
- d) means for determining whether each compliance rule in the set of compliance rules related to the selected portfolio applies to the proposed transaction;
- e) means for calculating a transaction limit for the proposed transaction for each applicable compliance rule in the set of compliance rules;
- f) means for sorting each applicable compliance rule from most restrictive to least restrictive;
- g) means for displaying the sorted applicable compliance rules;
- h) means for specifying the buying power of the selected portfolio for the proposed transaction, wherein the buying power is equal to the transaction limit for the most restrictive of the applicable compliance rules; ~~and~~
- i) means for displaying the name of the selected portfolio and its associated buying power; and
- j) means for displaying a rule description defining how the transaction limit was calculated.

26-27 (canceled)

28. (currently amended) A system for facilitating trade entry and portfolio management, the system comprising:

- a) a user interface interacting with a control program, a data storage device, and a processor;
- b) a financial security section of the user interface displaying the name of a security as well as data associated with the security;
- c) a portfolios section of the user interface displaying data retrieved from the data storage device, the data including a selectable list of investment portfolios and a buying power limit for the security associated with each of the investment portfolios; and
- d) a buying power module of the user interface displaying a list of compliance rules retrieved from the data storage device and a transaction limit calculated by the processor, the transaction limit being associated with each compliance rule, wherein the compliance rules and associated transaction limits are listed from lowest transaction limit to highest transaction limit and are applicable to a currently selected investment portfolio in the portfolios section of the user interface; and
- e) a rule description section of the user interface displaying how the transaction limit was calculated.

29. (canceled)

- 30. (canceled)
- 31. (previously presented) The system of claim 28, further comprising a transaction execution module allowing a user to execute a proposed transaction involving the security for the currently selected investment portfolio.
- 32. (previously presented) The method of claim 1, wherein the predetermined criteria include at least one of duration guidelines, asset allocation guidelines, credit ratings, and restricted security lists.